

U.S. SECURITIES AND EXCHANGE COMMISSION

Delegated Examining Unit

VACANCY ANNOUNCEMENT NUMBER: DEU-04-071

Opens: March 12, 2004

Closes: March 26, 2004

RESEARCH SPECIALIST, SK-301-05

(TEMPORARY APPOINTMENT NOT TO EXCEED SEPTEMBER 30, 2004)

PAY LEVEL: SK-05: \$31,007-\$43,357 annually
(This is non-bargaining unit position.)

PROMOTION POTENTIAL: None

VACANCIES: One

SCHEDULE: Full-Time

OFFICE: Midwest Regional Office

LOCATION: Chicago, IL

This job is open to all U.S. citizens.

Moving Expenses will not be paid.

WHAT WORK WILL YOU PERFORM?

As a Research Specialist, you will:

- Perform factual analysis of a variety of data and assist staff members in assembling specific program information.
- Conduct financial, accounting or economic research; read, digest and index related material, opinions, decisions and/or other documents used by the staff; obtain facts and information to be used in the preparation of special reports and recommendations to the Commission; and extract the highlights of documentary exhibits or other factual material, summarize essential points for the use of the staff.
- Examine documents filed with the Commission (e.g., proxy material, registration statements, periodic company reports, applications for exemption). Determine if certain full-disclosure requirements have been met and/or assist in drafting disclosure comment letters. Perform other research work in support of the Commission staff.

WHAT ARE THE QUALIFICATION REQUIREMENTS?

Candidates must meet the Specialized Experience or Substitution of Education below.

1. Specialized Experience

To be considered for the SK-5 level position, your application must show a minimum of 52 weeks of specialized experience equivalent to the GS/SK-4 level that directly relates to the duties above.

OR

2. Substitution of Education

You may qualify based on education if you possess 4 years of education or a bachelor's degree related to the position being filled such as business administration, finance, accounting.

All applicants must indicate a typing speed of at least 40 words per minute or better.

See next page for additional information

QUALITY RANKING FACTORS

Quality ranking factors are used to ascertain the extent of your knowledge, skills and abilities as related to the specialized experience. If you do not address the quality ranking factors to clearly describe the extent of your experience, you may be

determined ineligible or receive a low rating. These factors also will determine whether you will place among the top ranked candidates to be referred for interview.

1. Ability to utilize a personal computer and various word processing and spreadsheet software packages.
2. Ability to work effectively under conditions of frequently changing schedules and deadlines.
3. Ability to meet and deal effectively with members of the public and with agency employees at all levels of the organization.

HOW TO APPLY AND WHERE TO SEND APPLICATION

See the attached “**Employment Guide.**” If you do not submit all information as requested, you may lose consideration for the announcement. This information will allow us to determine if you meet all legal requirements for Federal employment and the qualifications for this position.

Candidates must meet all eligibility requirements by the closing date of the vacancy announcement.

Security Clearance: The individual selected may be subject to a security investigation. Favorable results on a Background Investigation may be a condition of employment or selection to another position.

SEC provides reasonable accommodations to applicants with disabilities. If you need a reasonable accommodation for any part of the application and hiring process, please notify the agency’s Disabilities Coordinator, OHRAS. The decision on granting reasonable accommodations will be on a case-by-case basis.

EQUAL EMPLOYMENT OPPORTUNITY

Candidates will be considered without regard to any non-merit reason such as race, color, religion, age, sex, national origin, or disability. Disabled veterans, individuals with disabilities and veterans eligible for special OPM appointing authorities are strongly encouraged to apply.

EMPLOYMENT GUIDE

U.S. Securities and Exchange Commission Office of Human Resources and Administrative Services Alexandria, Virginia 22312

Thoroughly read this guide and provide all information requested.

This information will help us determine whether you meet legal requirements for Federal employment and evaluate your qualifications for the position.

APPLICATION	<ul style="list-style-type: none">• Apply by submitting an <i>Optional Application for Federal Employment</i> (OF-612) or a résumé.• Place in the top right corner of each page of your application: job title, grade and announcement number of the position for which you are applying.• Provide your social security number, name, address, home and office phone numbers for the Federal employment process.• Indicate when you are available to start work.• Make sure your application is complete and clear. An unreadable application will <u>not</u> be considered for the position.
LEGAL REQUIREMENTS	<ul style="list-style-type: none">• United States citizenship required for jobs in the <i>competitive civil service</i>.• Males over age 18 born after December 31, 1959 must be registered with the Selective Service System or have an exemption.
EDUCATION & TRAINING	<ul style="list-style-type: none">• List any formal education received in an accredited institution. Give full name and address of high school, college, university, law school; type of certificate, diploma, or degree; grade point average; and month, year degree earned (or when you expect to earn your degree).• List any certifications or diplomas from trade or vocational schools, or training courses you have had that are relevant to the position for which you are applying. Give the full name and address of the school; name of subject, beginning and ending dates of training (month and year); number of classroom hours completed; and certificate or diploma earned as appropriate.• You must <u>submit a copy of or the official college transcript</u> as proof of your college degree and/or number of semester or quarter hours completed.
EXPERIENCE	<ul style="list-style-type: none">• Describe fully any work experience directly related to the experience required by the vacancy announcement. List the job title of your position; name and address of employer; supervisor's name and telephone number. Regardless of whether your <u>employment is in the Federal or private sector, you must show beginning and ending employment dates in month and year (i.e., March 2000, 3/00 or 3/2003). You must show average hours worked per week and starting, ending and/or present salary.</u>• Be explicit about what you did and what kinds of skills you used in doing it; evaluators cannot read meaning into what you write. Do not assume that the evaluator will understand what you do based on your title, the kind of business

	<p>you were involved in, or the name of your organization or company.</p> <ul style="list-style-type: none"> • Remember to indicate whether we may contact your present and previous employers. • If you are currently or were formerly employed as a civilian in the Federal Government, indicate the highest grade held and the appointment type (i.e., career, career conditional, temporary, excepted, etc.)
QUALITY RANKING FACTORS	<ul style="list-style-type: none"> • Only applications meeting the minimum qualifications for the job are rated against a Rating Schedule. • Use extra sheets of paper to fully, but concisely describe any technical knowledge, skills and abilities, reporting relationships, and all work experience you have that relates to each Quality Ranking Factor. • Address each quality ranking factor to clearly describe the extent of your experience. You may be determined ineligible or receive a low rating if you do not address the factors. Your response to the factors will be measured against the Rating Schedule to determine your rating score and whether you will place among the top ranked candidates to be referred to the hiring official for further consideration and interview.
VETERANS PREFERENCE	<ul style="list-style-type: none"> • <u>To receive 5-point veteran preference</u>, you <u>must</u> submit a copy of your Certificate of Release or Discharge from Active Duty (DD-214) for each position for which you are applying. Visit website: www.opm.gov/veterans to verify veterans' preference. • <u>To receive 10-point veteran preference</u>, you <u>must</u> submit an Application for 10-point Veteran Preference (SF-15), along with an official statement dated within the last 12 months from the Dept. of Veterans Affairs or Armed Forces, certifying service-connected disability.
SPECIAL SELECTION PRIORITY	<ul style="list-style-type: none"> • This applies only to current or former career or career conditional Federal employees affected by reduction-in-force (RIF). Review your specific RIF notice about your rights and period of eligibility for special priority selection under the Interagency Career Transition Assistance Plan (ICTAP). • To receive special selection priority as a Federal employee, you must: (1) apply timely for a specific job announcement with no greater promotion potential than the position from which you have been or are being separated; (2) occupy or be displaced from a position in the same local commuting area of the vacancy for which you are requesting priority consideration; (3) have a current (or last) performance rating of record of at least fully successful; and (4) determined to be <u>well-qualified</u> as a displaced Federal employee for the SEC position. • <u>To meet SEC's well-qualified criteria</u>, you must: (a) receive a rating of above average (3 points) or higher in each quality ranking factor; or (b) receive a superior rating (5 points) to offset each quality ranking factor rated minimally qualified (1 point). If you are a surplus or displaced employee and meet SEC's well-qualified criteria, your application will be referred to the selecting official before any other qualified candidate inside or outside the

	Federal Government.
EVALUATION PROCEDURES	<ul style="list-style-type: none"> • A Human Resources Specialist will evaluate your application to determine whether you meet the minimum qualifications on the vacancy announcement. • A panel of subject matter experts will rank each qualified candidates' application against a Rating Schedule. The rating schedule is a tool designed specifically for rating the quality ranking factors for the position. Based on the panel's evaluation of your application, you will be given a rating score of 70 to 100. Additional points also will be given for veterans' preference, if appropriate. The names of the highest rated candidates will be put on a referral certificate and sent to the supervisor, who will make the final decision on who will be interviewed and hired.
FILING APPLICATION	<p>You may:</p> <ul style="list-style-type: none"> • Mail your application through the U.S. Postal Service. Mailed applications must be postmarked by the closing date of the announcement and received at the address below within 5 business days. • Hand deliver your application <u>only</u> to personnel staff at the address on the vacancy announcement. • Fax your application to 703-914-0556. Applications must be sent on or before the closing date of the announcement and not later than the Office's close of business day at 5:30PM Eastern Standard Time. • Application material not received by the deadline above will not be considered. • Federal regulations prohibit the use of government property for personal use.
WHERE TO SEND APPLICATION	<p>U.S. Securities and Exchange Commission Office of Human Resources and Administrative Services Attention: DeLisia Carpenter 6432 General Green Way, Stop 0-1 Alexandria, VA 22312</p> <p>Fax Number: (703-914-0556)</p>
INQUIRIES	For general inquiries about matters of concern, you may contact the Human Resources Specialist at (202) 942-4074.
FIRST LEVEL APPEAL	To file a formal inquiry or appeal, you must write to the Chief of the Classification, Staffing, Employee Benefits and Payroll Administration Branch at the address below, and include in your letter the information required under "Final Appeal." Your appeal must be filed not later than 90 days from the date of receipt of your letter, which informed you of your application status. The Branch Chief will review your application and send you a letter notifying you of the decision regarding your particular request or concern.
FINAL APPEAL	<p>If you are dissatisfied with the Branch Chief's decision, you may request a final appeal within 30 calendar days of receiving the first notice of decision. To initiate a final appeal, you must write to:</p> <p>Associate Executive Director</p>

Office of Human Resources and Administrative Services
U.S. Securities and Exchange Commission
6432 General Green Way
Alexandria, Virginia 22312

Your letter should include the following information:

- Your name and address;
- Job title, grade and announcement number of the position for which you applied;
- Describe the concern and explain why you believe there is an error or oversight.
- If you need more information, describe the matter or process you are unsure about.

While your concern or question is being investigated, no change will be made to your rating status.

Federal employment. The information will be used to assess recruitment activities and will be maintained in a manner so individuals may not be identified by name.

Announcement Number:

Position Title:

Last Name

First Name

MI

Social Security

Number: _____

United States citizen
(circle applicable answer):

Yes or No

If not a U.S. citizen, what is your country of
citizenship:

Review the categories in A, B, and C and please circle or check the answer that best describes you.

A

Male

Female

B.

1. American Indian or
Alaskan Native

2. Asian or Pacific
Islander

3. Black

4. White

5. Hispanic

C.

05 - I do not have a disability

06 - I have a disability, however
it is not listed

16 - Deaf

23 - Blind (one or
both eyes)

64 - Partial paralysis

71 - Complete
paralysis

82 - Convulsive disorder

90 - Mental retardation

91 - Mental or emotional illness

92 - Distortion of limbs and/or spine

*How did you learn about the position (i.e., Washington Post newspaper, radio, OPM website-
USAJOBS, Internet,*

SEC hotline, etc.? _____.